

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

APPLICANT: PLUMMER  
SERIAL NO: 09/284,684  
FILED: April 15, 1999  
FOR: VITAMIN DELIVERY

REFUND REQUEST

DEPOSIT ACCOUNT NO: 01-0265

COMMISSIONER OF PATENTS & TRADEMARKS

Refund Section

Box 17

Washington, D.C. 20231

Sir or Madam:

Enclosed is a copy of the VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS - Small Business Concern which was forwarded for filing in the application file on June 3, 1999. This application was filed without the executed Declaration claiming small entity, the small fee was paid and our Deposit Account was charged \$355.00 on May 7, 1999.

Please credit my Deposit Account No. 01-0265 in the amount of \$420.00 as a refund toward the filing fees. The amount of the refund request is \$420.00 (not \$355.00) because one-half of the fee, "Code 970," which is large entity for PCT filing with the EPO or JPO search report is \$420.00, not \$355.00. If you have any questions, please contact me.

Respectfully submitted,

W. Thad Adams, III

Reg. No. 29,037

W. THAD ADAMS, III  
2180 First Union Plaza  
Charlotte, NC 28282  
(704) 375-9249  
Our File No.: 1620/3  
Date Submitted to PTO: June 29, 1999

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: **BOX REFUND REQUEST**, Assistant Commissioner for Patents, Washington, D.C. on 06/29/99. Date of Signature: 06/29/99.

Signature: \_\_\_\_\_

Kristie R. Pierce

1999 JUL -7 PM 2:42

RECEIPT ACCOUNTING  
DIVISION

Applicant or Patentee: PLUMMER, L. Terrence

Attorney's

Serial or Patent No.: 09/284,684

Docket No: 1620/3

Filed or Issued: April 15, 1999

For: "VITAMIN DELIVERY"

## VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 C.F.R. 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am

☐ the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN CULTECH LIMITED

ADDRESS OF CONCERN YORK CHAMBERS, YORK STREET, SWANSEA, WEST GLAMORGAN SA1 3NJ, (GB)

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled "VITAMIN DELIVERY" by inventor(s) PLUMMER, NIGEL described in

☐ the specification filed herewith

☒ application serial no. 09/284,684, filed 04/15/99.

☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME \_\_\_\_\_ ADDRESS \_\_\_\_\_

☐ Individual

☐ Small Business Concern

☐ Nonprofit Organization

NAME \_\_\_\_\_ ADDRESS \_\_\_\_\_

☐ Individual

☐ Small Business Concern

☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING X DR NIGEL PLUMMER

TITLE OF PERSON OTHER THAN OWNER DIRECTOR

ADDRESS OF PERSON SIGNING YORK CHAMBERS YORK ST SWANSEA SA1 3NJ (GB)

SIGNATURE X [Signature]

DATE X 14/5/99

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